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Client Matter#: 24612-101

From: Kevin A. Oliver	Sender's Number: 1241	User #: 6674
Total Pages Sent (Including Cover Sheet): 13		Office: Boston

Message

Re: U.S. Patent Application No. 10/716,391
 Filed: November 17, 2003
 Title: Systems and Methods for Computing Performance Parameters of
 Securities Portfolios
 Attorney Docket No. HAE-001.01

Dear Sir/Madam:

EXPEDITED PROCESSING

OFFICIAL COMMUNICATION

Please find enclosed, subject to a facsimile of transmission dated June 3, 2004 to the above FAX number, the following: Response to Notice to File Missing Parts (1 page); Fee Transmittal for FY 2004 (1 page); (Copy of) Fee Transmittal for FY 2004 (1 page); (Copy of) Notice to File Missing Parts of Nonprovisional Application (2 pages); Three Power of Attorney Forms (3 pages); Three Declaration for Utility Application Using an Application Data Sheet (3 pages); and a Certificate of Transmission under 37 CFR 1.8 (1 page).

Kevin A. Oliver, Reg. No. 42,049

IMPORTANT – PLEASE READ

THE INFORMATION CONTAINED IN THIS FACSIMILE MESSAGE IS INTENDED ONLY FOR THE PERSONAL AND CONFIDENTIAL USE OF THE DESIGNATED RECIPIENTS NAMED ABOVE. THIS MESSAGE MAY BE AN ATTORNEY-CLIENT COMMUNICATION AND AS SUCH IS PRIVILEGED AND CONFIDENTIAL. IF THE READER OF THIS MESSAGE IS NOT THE INTENDED RECIPIENT OR AN AGENT RESPONSIBLE FOR DELIVERING IT TO THE INTENDED RECIPIENT, YOU ARE HEREBY NOTIFIED THAT YOU HAVE RECEIVED THIS DOCUMENT IN ERROR, AND THAT ANY REVIEW, DISSEMINATION, DISTRIBUTION OR COPYING OF THIS MESSAGE IS STRICTLY PROHIBITED. IF YOU HAVE RECEIVED THIS COMMUNICATION IN ERROR, PLEASE NOTIFY US IMMEDIATELY BY TELEPHONE AND RETURN THE ORIGINAL MESSAGE TO US BY MAIL. THANK YOU.

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Seaport World Trade Center West / 155 Seaport Blvd. / Boston, MA 02210-2600 / TEL: 617.832.1000 / FAX: 617.832.7000

WASHINGTON DC

www.foleyhoag.com

PAGE 1/13 * RCVD AT 6/3/2004 1:56:07 PM [Eastern Daylight Time] * SVR:USPTO-EFXRF-10 * DNIS:3729306 * CSID:617 832 7000 * DURATION (mm:ss):04-20

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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In re Application of:

Cohen, et al.

Serial No: 10/716,391

Filed: November 17, 2003

For: Systems and Methods for Computing
Performance Parameters of Securities Portfolios

JUN 03 2004

Art Unit: 2124

Attorney Document No. HAE-001.01

RESPONSE TO NOTICE TO FILE MISSING PARTS

Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

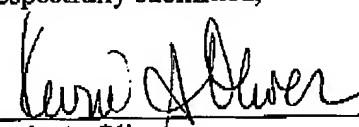
Enclosed are the following: (1) copy of the Notice to File Missing Parts; and (2) Declaration and Power of Attorney forms; (3) Fee Transmittal Form; and (4) duplicate copy of Fee.

Applicants' attorney hereby authorizes the Office to charge any additional fees which may be required to Deposit Account No. 06-1448, Reference: HAE-001.01.

Respectfully submitted,

Date: June 3, 2004

Customer No: 25181
Patent Group
Foley, Hoag, LLP
WORLD TRADE CENTER WEST
155 Seaport Boulevard
Boston, MA 02210-2600
Telephone: (617) 832-1241



Kevin A. Oliver
Reg. No. 42,049

FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 964

Complete if Known

Application Number	10/716,391
Filing Date	November 17, 2003
First Named Inventor	Cohen et al.
Examiner Name	Not yet assigned
Art Unit	2124
Attorney Docket No.	HAE-001.01

METHOD OF PAYMENT (check all that apply)

 Check Credit card Money Order Other None
 Deposit Account:

Deposit Account Number 05-1446; Reference: HAE-001.01

Deposit Account Name Foley Hoag LLP

The Director is authorized to: (check all that apply)

- Charge fee(s) indicated below
- Credit any overpayments
- Charge any additional fee(s) during the pendency of this application
- Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	385
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1)

(\$ 385)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	-20 **	=	38	X	9	=	342	Extra Claims	Fee from below	Fee Paid
Independent Claims	7	-3 **	=	4	X	43	=	172		
Multiple Dependent					X		=	0		

Large Entity	Small Entity	Fee Description
Fee Code	Fee (\$)	Fee Description
1202	18	2202 9 Claims in excess of 20
1201	68	2201 43 Independent claims in excess of 3
1203	280	2203 145 Multiple dependent claim, if not paid
1204	86	2204 43 ** Reissues independent claims over original patent
1205	18	2205 9 ** Reissues claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ 514)

** or number previously paid, if greater. For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code (\$)	Fee (\$)
1051	130	2051 65 Surcharge - late filing fee or oath	65
1052	50	2052 25 Surcharge - late provisional filing fee or cover sheet	
1053	130	1053 130 Non-English specification	
1812	2,520	1812 2,520 For filing a request for reexamination	
1804	920*	1804 920* Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805 1,840* Requesting publication of SIR after Examiner action	
1251	110	2251 55 Extension for reply within first month	
1252	420	2252 210 Extension for reply within second month	
1253	950	2253 475 Extension for reply within third month	
1254	1,480	2254 740 Extension for reply within fourth month	
1255	2,010	2255 1,005 Extension for reply within fifth month	
1401	330	2401 165 Notice of Appeal	
1402	330	2402 165 Filing a brief in support of an appeal	
1403	230	2403 145 Request for oral hearing	
1451	1,510	1451 1,510 Petition to institute a public use proceeding	
1452	110	2452 55 Petition to revive - unavoidable	
1453	1,330	2453 665 Petition to revive - unintentional	
1501	1,330	2501 665 Utility issue fee (or reissue)	
1502	480	2502 240 Design issue fee	
1903	640	2503 320 Plant issue fee	
1460	130	1460 130 Petitions to the Commissioner	
1807	50	1907 50 Processing fee under 37 CFR 1.17(q)	
1806	180	1806 180 Submission of Information Disclosure Stmt	
8021	40	8021 40 Recording each patent assignment per property (times number of properties)	
1809	770	2809 365 Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810 385 For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801 385 Request for Continued Examination (RCE)	
1802	900	1802 900 Request for expedited examination of a design application	
Other fee (specify) _____			

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 65)

SUBMITTED BY		Complete if applicable		
Name (Print/Type)	Kevin A. Oliver	Registration No. (Attorney/Agent)	42,049	Telephone (617) 832-1241
Signature				
Date	June 3, 2004			

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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APPLICATION NUMBER	FILING OR 37(e) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/716,391	11/17/2003	Randolph B. Cohen	HAE-001.01 (24612-101)

CONFIRMATION NO. 4392

25181
FOLEY HOAG, LLP
PATENT GROUP, WORLD TRADE CENTER WEST
155 SEAPORT BLVD
BOSTON, MA 02110

Response to Missing Parts

DUE: 4.20.04

FINAL: 9.20.04

FORMALITIES LETTER



OC000000011937093

Date Mailed: 02/20/2004

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 385 to complete the basic filing fee for a small entity.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

The applicant needs to satisfy supplemental fees problems indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Additional claim fees of \$514 as a small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is \$964 for a Small Entity

- \$385 Statutory basic filing fee.
- \$65 Late oath or declaration Surcharge.

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FEB 24 2004

**PATENT DEPT.
DOCKETING**

- Total additional claim fee(s) for this application is \$514

- \$172 for 4 independent claims over 3.
- \$342 for 38 total claims over 20.

Replies should be mailed to: Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

A copy of this notice MUST be returned with the reply.

Mezzo W
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

PTO/SB/07 (08-03)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCEUnder the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.**Certificate of Transmission under 37 CFR 1.8**

I hereby certify that this correspondence is being facsimile transmitted to the United States Patent and Trademark Office

on June 3, 2004.

Date



Signature

Teresa Barbuto

Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of transmission, or this certificate must identify each submitted paper.

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This collection of information is required by 37 CFR 1.8. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.8 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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